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7

INTRODUCTION

In 1946 the Congress enacted the National Mental Health Act, providing for a comprehensive and integrated attack upon mental illness. To carry out the provisions of the Act, the National Institute of Mental Health has developed over the years a broad program of mental health research, training, community services, and public education. Research, one of the principal activities of the Institute, is carried on in the Institute's own facilities and is also supported by grants awarded each year to hundreds of independent investigators working in universities, medical schools, and other non-federal research centers. The present listing of publications is concerned with the latter, extramural, research programs supported by the National Institute of Mental Health.

One basic criterion of productivity of a research grant program is publication of research results. The Public Health Service has long required that copies of publications resulting from research supported by grant funds be sent to it. It seemed to us desirable to check into the extent of response to this requirement as it affected the National Institute of Mental Health, and Dr. Marcus S. Goldstein of this Branch was assigned to this task in late 1963. A check of grant files revealed that in many instances there was no available record of published results. Furthermore, there appeared to be no way of knowing how accurate or complete the available records were, except by specifically asking the grantees. A publications questionnaire (Appendix 1), therefore, was designed and sent in 1964 to all principal investigators receiving grant support from the National Institute of Mental Health since inception of the grant program in 1947, to and including 1961; the latter "cut-off" date was taken since a couple of years must usually be allowed between the start of a project and expectation of published results.

The Survey.—The publications questionnaire was sent to principal investigators representing 2,429 separate projects supported by research grants from the National Institute of Mental Health during or prior to 1961.¹ Of this total number, 96 percent responded; the non-respondents included deceased

individuals and a number whose address had changed and could not be located. All National Institute of Mental Health research grant files were checked with respect to publications received, and thus some information on publications was obtained even for individuals who did not respond.

A total of 12,323 publications were listed by 1,908 of the principal investigators; 37 percent of these publications had not been submitted to the Institute before the survey.² Of the total number of projects, some 22 percent reported no publications, but an analysis of this group showed that more than half (55 percent) referred to "small grant" projects which are limited in duration (one year) and in amount (formerly under \$2,500; at present \$3,500), and are primarily awarded for exploratory research. In fact, the principal investigators of "small grant" projects in many instances noted on their returned survey forms that the grant was used for preliminary or exploratory work on a problem to ascertain its research potential. Moreover, 145 or 28 percent of the non-publication projects had presented one or more formal papers at a scientific meeting or had one or more manuscripts "in press" at the time of the survey. Thus the proportion of projects without any research communication stemming from their National Institute of Mental Health grant support was reduced to about 16 percent of the total number. Many of the latter commented that their results were "inconclusive" or "negative" and hence had not been prepared for publication; in some instances also the project terminated prematurely because of illness or death of the principal investigator.

Included in the volume, in addition to the listing of publications under each grant, are the principal investigators and co-investigators associated with each project; the title of each project; the sponsoring institution of the project and its location; and the duration of the project. This latter information is provided primarily for administrative use, although it may well prove helpful to anyone wishing to communicate with an investigator or institution about a listed project or publication. The excellent response of the grantees to the publications survey,

¹ The deadline of 1961 does not refer to published matter. Papers and/or books published as late as 1966 are listed, since publication of research results may appear several years after termination of grant support. Too, projects that began during this period (1947-1961) may have continued to receive grant support until the present time.

² Actually a total of 10,638 were listed in the returned questionnaires by 1,885 of the respondents. Subsequently, as of June 1966, an additional 1,713 publications by the aforementioned grantees, plus 23 who had reported no publication in their questionnaire, came to our attention and are included in the listing.

tions based on research supported in part by grant funds from the National Institute of Mental Health, undoubtedly will contribute to a better appraisal of the productivity of the Institute's diverse grant programs. The volume is also presented with the hope that it may be of interest and use to members of the medical and scientific communities, particularly those involved in the broad field of mental health.

Thanks are due to all the grantees who took the time and trouble to complete and return the pub-

will be as useful to them as to others. Marcus L. Goldstein, Ph. D., both planned and carried out the survey, and prepared and edited the listing for publication, with the assistance of various staff members of the former Research Grants Branch of the National Institute of Mental Health.

Philip Sapir, Chief
Behavioral Sciences Research Branch
National Institute of Mental Health

EXPLANATORY NOTES

Grant Number—A grant number preceded by MH refers to an award by the National Institute of Mental Health (NIMH).

Type of Grant—For administrative convenience, grants are divided into several types. In the present instance, these include the following:

R01—Regular or traditional research project—
The standard type of research support for a clearly defined research project or group of closely related research activities.

R03—Small research project—A research grant limited to one year and a maximum of \$3,500 in direct costs, intended especially for small-scale pilot and exploratory studies.

R04—Anthropology fellowship research support
—A research grant in support of the field costs of an NIMH anthropology research fellow.

R06—Translation project—A research grant in support of the translation of publications on or relevant to research.

R08—Research career award corollary—A research grant to provide limited funds for the research costs of recipients of research career and research career development awards. (Since 1963 these grants have been included in the regular (R01) research project grant program.)

R10—Special psychopharmacology—A research grant designed to meet special needs of the psychopharmacology program, either collaborative in nature or closely monitored by the NIMH staff.

R12—Special mental health—A research grant in support of research activities in which the NIMH has a direct and immediate interest, with close liaison maintained by the NIMH staff.

R17—Mental health career investigator—A research grant designed to assist in the development of research careers in psychiatry and related fields by providing recipients with a stipend and limited research funds over a 3 to 5-year period for a combined program of research and advanced research training. (This grant program was replaced in 1962 by the research career development award and the research career award corollary grant.)

P01—Research program-project—A research grant to provide large-scale, long-term support for a broad program of research, usually interdisciplinary in nature and consisting of several projects with a common focus.

Principal and Co-Investigators—The first name listed is the current or most recent principal investigator of the project; all other names (most recent co-investigator, previous principal investigators and previous co-investigators) are listed in alphabetical order. Other researchers than those listed may have been, of course, associated with any particular research project, albeit not listed on the grant application as co-investigator. A name of an investigator in parentheses refers to the maiden name under which the project was initiated.

Duration of Project—The beginning date (year) and completion year are given on the first line of each project, e.g., 1959–1961, roughly 3 years. A project beginning and ending the same year is so

indicated, i.e., 1959-1959. A project that began during or prior to 1961, and was still active as of June 1966, will show the beginning date only, thus: 1959- .

Continuation of Research Projects Under Different Grant Numbers—Not infrequently a principal investigator doing research with the support of an NIMH grant may transfer to another institution. He may apply for, and receive, continued grant support for the same project in his new locale, if there is no objection from the original sponsoring institu-

tion. In these circumstances, the research project becomes a new one for administrative purposes, and a new grant number is assigned by the NIMH. Such "continued" projects, with publications resulting from the research, have been cross-referenced in the listing, directly under the Grant Number.

Acknowledgement of Grant Support—In many cases a grantee cites different NIMH grants as sources of research support. Such publications have been listed under the separate grant numbers cited, with a cross-reference notation under the listed item.

**Questionnaire Form Submitted to All Principal Investigators Receiving Grant Awards
From the National Institute of Mental Health, 1947-1961**

DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE NATIONAL INSTITUTES OF HEALTH National Institute of Mental Health Bethesda, Maryland 20014 REPORT OF PUBLICATIONS RESULTING FROM RESEARCH SUPPORTED BY NIMH GRANTS	RESEARCH GRANT NO.	PROJECT PERIOD
	PROJECT TITLE	
	PRINCIPAL INVESTIGATOR	
	SPONSORING INSTITUTION	

1. PUBLISHED MATERIAL

Please list below all publications (books, monographs, chapters, scientific papers, popular articles, etc.) resulting from the project supported by the above grant. The listing should include author (s), title, journal or publisher, volume of journal, page numbers, and date, in this order. If necessary, continue the listing on an additional sheet.

NOTE: If copies have not been submitted to date, please submit 10 copies of each reprint and 3 copies of each book or monograph.

NIH-49 (Rev. 1-64)

2. PAPERS AND/OR BOOKS ACCEPTED FOR PUBLICATION

Please list below any papers and/or books not yet published but accepted for publication, resulting from the project supported by the research grant number on page one. The listing should include author(s), title, journal or publisher, and approximate date of publication.

NOTE: Ten copies of each reprint should be submitted as soon as these become available; 3 copies of each book or monograph should be submitted as soon as available following publication.

NIH-49 (Rev. 1-64)

3. PAPERS NOT PUBLISHED BUT PRESENTED AT SCIENTIFIC MEETINGS

Please list below any papers not already listed, which have been presented at scientific meetings, resulting from the project supported by the research grant number on page one. The listing should include author(s), title, meeting at which presented, and date.

NOTE: If duplicated copies are available and have not yet been submitted to us, please submit 9 copies.

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4. NO PUBLICATION TO DATE

If no publication to date has resulted from the project supported by the research grant number on page one, please indicate whether any are contemplated in the near future:

☐ Yes

☐ No

Comments:

5. TERMINAL PROGRESS REPORTS
(For completed or terminated grants only)

Public Health Service regulations require that a terminal progress report be submitted within 90 days following termination of grant support, unless an extension of time has been granted. Please indicate whether a terminal progress report has been submitted:

☐ Yes

☐ No

Has a publication been submitted in lieu of a terminal progress report?

☐ Yes

☐ No

If YES, please identify publication below:

DATE:

SIGNATURE:

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